

PTO/SB/21 (02-04) (AW 02/2004)

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission 4 +  
European Search Report + 4 references

Application Number	10/089,998
Filing Date	July 30, 2002
First Named Inventor	Hideki Hayashi et al.
Art Unit	2872
Examiner Name	A. C. Lavarias
Attorney Docket No.	MTS-3326US

**ENCLOSURES (Check all that apply)**

- ☐ Fee Transmittal Form  
☐ Fee Attached
- ☐ Amendment/Reply  
☐ After Final  
☐ Affidavits/Declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/  
Incomplete Application
- ☐ Response to Missing Parts under  
37 CFR 1.52 or 1.53

- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a  
Provisional Application
- ☐ Power of Attorney, Revocation,  
Change of Correspondence  
Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication  
to Group
- ☐ Appeal Communication to Board  
of Appeals and Interferences
- ☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply  
Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please  
identify below):
- PTO Form 1449, 4 references,  
return postcard**

**Remarks:****SIGNATURE OF APPLICANT, ATTORNEY OR AGENT**Firm or  
Individual  
Name

Allan Ratner

Registration No. (Attorney/Agent)

19,717

Signature

Date

May 24, 2004

**CERTIFICATE OF TRANSMISSION / MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date:

Typed or  
printed name

Fran Petrillo

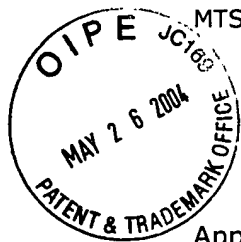
Signature

Date

May 24, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, ALEXANDRIA, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



MTS-3326US

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application No.: 10/089,998  
Applicant: Hideki Hayashi et al.  
Filed: July 30, 2002  
Title: LENS, OPTICAL HEAD, OPTICAL INFORMATION  
WRITING/READING APPARATUS AND OPTICAL INFORMATION  
RECORDING MEDIUM WRITING/READING METHOD

TC/A.U.: 2872  
Examiner: Arnel C. Lavarias  
Confirmation No.: 5820  
Docket No.: MTS-3326US

**SUPPLEMENTAL**  
**INFORMATION DISCLOSURE STATEMENT**

***Mail Stop Amendment***

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. § 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed on the PTO 1449 (R&P) submitted herewith. A copy of each of the listed references is also enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

The following references were previously submitted with the Supplemental Information Disclosure Statement filed January 7, 2003:

- 1) EP 0 874 359
- 2) EP 0 851 415
- 3) US 5,808,993

- 4) US 6,052,355
- 5) EP 0 865 037
- 6) EP 0 881 634
- 7) JP 09-145995

No first Official Action has yet been received and it is presumed that none has yet been mailed. No fee or statement is required. 37 C.F.R. § 1.97(b).

Respectfully submitted,

  
\_\_\_\_\_  
Alan Ratner, Reg. No. 19,717  
Attorney for Applicants

AR/fp

Enclosures: European Search Report  
PTO Form 1449 (2 sheets)  
Copies of (4) References

Dated: May 24, 2004

P.O. Box 980  
Valley Forge, PA 19482  
(610) 407-0700

The Commissioner for Patents is hereby authorized to charge payment to Deposit Account No. **18-0350** of any fees associated with this communication.

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May 24, 2004

  
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Substitute for Form 1449/PTO

Complete if Known

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

SHEET 1 of 2

Application Number	10/089,998
Filing Date	July 30, 2002
First Named Inventor	Hideki Hayashi et al.
Art Unit	2872
Examiner Name	Arnel C. Lavarias
Attorney Docket No.	MTS-3326US

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		EP 0 859 357 A	08/19/98	SONY CORP		<input type="checkbox"/>
		EP 0 610 055 A	08/10/94	MATSUSHITA ELEC IND CO LTD		<input type="checkbox"/>
		EP 0 818 781 A	01/14/98	KONISHIROKU PHOTO IND		<input type="checkbox"/>
		EP 0 962 921 A	12/08/99	KONISHIROKU PHOTO IND		<input type="checkbox"/>
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Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

<sup>1</sup>Applicant's unique citation designation number (optional).

<sup>2</sup>See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.

<sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard St.3).

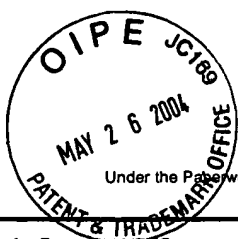
<sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.

<sup>6</sup>Applicant is to place a check mark here if English language translation is attached.

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Substitute for Form 1449/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

SHEET 2 of 2

### Complete if Known

Application Number	10/089,998
Filing Date	July 30, 2002
First Named Inventor	Hideki Hayashi et al.
Art Unit	2872
Examiner Name	Arnel C. Lavarias
Attorney Docket No.	MTS-3326US

### NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		European Search Report for EP 00 96 4666, dated April 5, 2004.	<input type="checkbox"/>
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Examiner Signature		Date Considered	
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<sup>1</sup>Applicant's unique citation designation number (optional).

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